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PTO/SB/01 (12-97)
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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number

990607PK

First Named Inventor

KANDPAL

COMPLETE IF KNOWN

Application Number

09/588,527

Filing Date

JUNE 6, 2000

Group Art Unit

2733

Examiner Name

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**OPTICAL TRANSMISSION SYSTEMS AND OPTICAL RECEIVERS
AND RECEIVING METHODS FOR USE THEREIN**

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

06/06/2000

as United States Application Number or PCT International

Application Number 09/588,527 and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:
I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)

Filing Date (MM/DD/YYYY)

60/137,833

June 7, 1999

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☒ Customer Number

OR

☐ Registered practitioner(s) not registered in number listed below

Place Customer
Number Bar Code
Label here

Name	Registration Number	Name	Registration Number
	021398		
PATENT TRADEMARK OFFICE			

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☒ Customer Number or Bar Code Label 021398 OR ☐ Correspondence address below

Name	021398		
Address	PATENT TRADEMARK OFFICE		
Address			
City		State	ZIP
Country		Telephone	Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))				Family Name or Surname				
PRAMOD				KANDPAL				
Inventor's Signature		P. Chandras				Date	8/15/00	
Residence: City		Columbia	State	MD	Country	Howard	Citizenship	INDIA
Post Office Address								
7015 ALBERT EINSTEIN DRIVE								
Post Office Address								
City		COLUMBIA	State	MD	ZIP	21046	Country	USA

☐ Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

Please type a plus sign (+) inside this box → +

PTO/SB/02A (3-97)
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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page <u>1</u> of <u>1</u>
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Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname					
ALISTAIR J.				PRICE					
Inventor's Signature	Alistair T. Price					Date	8/28/2000		
Residence: City	COLUMBIA	State	MD	Country	Citizenship			U.K.	
Post Office Address								ALBERT EINSTEIN DRIVE	
Post Office Address								101	
City	COLUMBIA	State	MD	ZIP	21046-9420	Country	USA		
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname					
DAVID F.				SMITH					
Inventor's Signature	David F. Smith					Date	8-15-00		
Residence: City	ELLCOTT CITY	State	MD	Country	USA			Citizenship	UK.
Post Office Address								ALBERT EINSTEIN DRIVE	
Post Office Address									
City	COLUMBIA	State	MD	ZIP	21046	Country	USA		
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname					
Inventor's Signature						Date			
Residence: City		State		Country				Citizenship	
Post Office Address									
Post Office Address									
City		State		ZIP		Country			

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ASSIGNMENT OF INVENTION

For: ☒ U.S. and/or ☒ Foreign Rights
 For: ☒ U.S. Application or ☐ U.S. Provisional Application
 For: ☐ U.S. Patent
 For: ☐ PCT Application
 By: ☒ Inventor(s) or ☐ Present Owner

In consideration of the payment by ASSIGNEE(S) to ASSIGNOR(S) of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNOR(S)

Pramode Kandpal	7015 Albert Einstein Drive, PO Box 9400, Columbia, MD 21046-9400	U.S.A.
name of Assignor	Address	Nationality
Alistair J. Price	7015 Albert Einstein Drive, PO Box 9400, Columbia, MD 21046-9400	U.K.
name of Assignor	Address	Nationality
David F. Smith	7015 Albert Einstein Drive, PO Box 9400, Columbia, MD 21046-9400	U.K.
name of Assignor	Address	Nationality

Recorded on _____ Reel _____ Frame _____

hereby sells, assigns and transfers to

ASSIGNEE(S):

CORVIS Corporation	7015 Albert Einstein Drive PO Box 9400 Columbia, MD 21046-9400	Delaware Corporation
(name of ASSIGNEE)	Address	Nationality

and the successors, assigns and legal representatives of the ASSIGNEE(S)

- ☒ the entire right, title and interest for the United States and its territorial possessions
- ☐ an undivided _____ percent (_____ %) interest for the United States and its territorial possessions
- ☒ and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled:

Optical Transmission Systems and Optical Receivers and Receiving Methods for use therein

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on _____
- (c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention
- ☐ Express mail label no.: _____ Mailed: _____
- ☐ To comply with 37 CFR 3.21 for recordal of this assignment, ASSIGNOR(S) signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.
- (d) ☒ U.S. application no.: 09/588,527 filed on June 6, 2000

- (e) ☐ International application no. _____ filed on _____ and amended on _____.
- (f) ☐ U.S. patent no. _____ issued _____
- ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.
- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE(S) will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR(S) and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE(S) or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, ASSIGNOR(S) have hereunto set hand and seal this:

WARNING: The date of signing must be the same as the date of execution of the declaration, if item (a) was checked above.

Pramode Kandpal

Name of Assignor or
Name & Title of Person entitled to sign on
behalf of Assignor

Signature of Assignor or
Person entitled to sign on behalf of Assignor

Date

Alistair J. Price

Name of Assignor or
Name & Title of Person entitled to sign on
behalf of Assignor

Signature of Assignor or
Person entitled to sign on behalf of Assignor

Date

David F. Smith

Name of Assignor or
Name & Title of Person entitled to sign on
behalf of Assignor

Signature of Assignor or
Person entitled to sign on behalf of Assignor

Date

Place of signing of assignment

City/County :

State :

Country :

Before me this 15 day of August, 2000, personally appeared Pramode Kandpal, Alistair J. Price, and David F. Smith, to me known to be the person(s) who ☐ is ☐ are described in and who executed the foregoing assignment instrument and acknowledged its contents of their own free will for the purpose therein expressed.

GLADYS MARIE DONACHY
NOTARY PUBLIC STATE OF MARYLAND
My Commission Expires November 1, 2003

Notary Public or Consular Officer of the United States of America

NOTE: Notarization of this document is only prima facie evidence of execution, 35 USC 261.

Place of signing of assignment

City/County : Howard
State : Maryland
Country : USA

Before me this 28 day of August, 192000 personally appeared Alistair J. Price to me known to be the person(s) who ☐ is ☒ are described in and who executed the foregoing assignment instrument and acknowledged its contents of their own free will for the purpose therein expressed.

Gladys Marie Donachy
Notary Public or Consular Officer of the United States of America

NOTE: Notarization of this document is only prima facie evidence of execution, 35 USC 261.

GLADYS MARIE DONACHY
NOTARY PUBLIC STATE OF MARYLAND
My Commission Expires November 1, 2000